

1645

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Perry Francis Bartlett, Elizabeth Jane Coulson, Katrina Fieldew, Manuel Baca, Trevor Kilpatrick and Cheema Surindar

Application No.: 09/821,831 Group Art Unit: 1645

Filed: March 30, 2001 Examiner: Not available

Confirmation No.: 6242

Title: METHOD OF MODULATING CELL SURVIVAL AND REAGENTS USEFUL FOR SAME

#12  
S.Q.  
4/9/03



CERTIFICATE OF MAILING	
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to Assistant Commissioner for Patents, P.O. Box 2327, Arlington, VA 22202	
on 3/10/03	<i>Judith K. Sherman</i>
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SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents  
P.O. Box 2327  
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Sir:

This Supplemental Information Disclosure Statement is submitted:

☐ under 37 CFR 1.129(a), or

(First/Second submission after Final Rejection)

☒ under 37 CFR 1.97(b), or

(Within any one of the following time periods: three months of filing national application (other than a CPA) or date of entry of the national stage in an international application; or before the mailing date of a first office action on the merits in a non-provisional application, including a CPA, or a Request for Continued Examination).

☐ under 37 CFR 1.97(c) together with either:

☐ a Statement under 37 CFR 1.97(e), as checked below, or

☐ a \$180.00 fee under 37 CFR 1.17(p), or

(After the 37 CFR 1.97(b) time period, but before final action or notice of allowance, whichever occurs first)

☐ under 37 CFR 1.97(d) together with:

☐ a Statement under 37 CFR 1.97(e), as checked below, and

☐ a \$180.00 fee under 37 CFR 1.17(p), or

(Filed after final action or notice of allowance, whichever occurs first, but on or before payment of the issue fee)

☐ under 37 CFR 1.97(i):

Applicant requests that the IDS and cited reference(s) be placed in the application filewrapper.

(Filed after payment of issue fee)

Statement Under 37 CFR 1.97(e)

- ☐ Each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement; or
- ☐ No item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned, after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

Statement Under 37 CFR 1.704(d) (Patent Term Adjustment)

Applies to original applications (other than design) filed on or after May 29, 2000

- ☐ Each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in § 1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement.
- ☒ Enclosed herewith is form PTO-1449:
- ☒ Copies of the cited references are enclosed.
- ☐ Copies of cited references are enclosed except those entered in prior application, U.S. Application No. [ ], to which priority under 35 U.S.C. 120 is claimed. [The earlier application contains copies of the cited references.]
- ☐ The listed references were cited in the enclosed International Search Report in a counterpart foreign application.
- ☐ The "concise explanation" requirement (non-English references) for reference(s) [ ] under 37 CFR 1.98(a)(3) is satisfied by:
- ☐ the explanation provided on the attached sheet.
  - ☐ the explanation provided in the Specification.
  - ☐ submission of the enclosed International Search Report.
  - ☐ submission of the enclosed English-language version of a foreign Search Report and/or foreign Office Action.
  - ☐ the enclosed English language abstract.

☐ Applicant requests that the following non-published pending applications be considered:

Examiner's  
Initials

\_\_\_\_\_ U.S. Patent Application No. [ ], by [inventor(s)], filed [ ], Docket No.: [ ]

\_\_\_\_\_ U.S. Patent Application No. [ ], by [inventor(s)], filed [ ], Docket No.: [ ]

\_\_\_\_\_ U.S. Patent Application No. [ ], by [inventor(s)], filed [ ], Docket No.: [ ]

\_\_\_\_\_  
Examiner

\_\_\_\_\_  
Date

☐ A copy of each above-cited application, including the current claims, is enclosed.

☐ A copy of each above-cited application, including the current claims, is enclosed, except those entered in prior application, U.S. Application No. [ ], to which priority under 35 U.S.C. 120 is claimed.

The Examiner is requested to return a copy of the above list of pending applications indicating which references were considered with the next office communication.

It is requested that the information disclosed herein be made of record in this application.

Method of payment:

☐ A check for the fee noted above is enclosed, or the fee has been included in the check with the accompanying Reply. A copy of this Statement is enclosed.

☐ Please charge Deposit Account 08-0380 in the amount of \$[ ]. A copy of this Statement is enclosed.

☒ Please charge any deficiency in fees and credit any overpayment to Deposit Account 08-0380.

Respectfully submitted,

HAMILTON, BROOK, SMITH & REYNOLDS, P.C.

By David E. Brook

David E. Brook

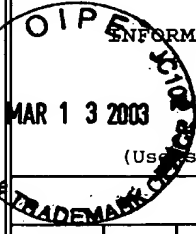
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Concord, MA 01742-9133

Dated: 3/8/03

PTO-1449 REPRODUCED		ATTORNEY DOCKET NO. 3206.1001-000		APPLICATION NO. 09/821,831				
 INFORMATION DISCLOSURE CITATION IN AN APPLICATION (March 7, 2003) (Use several sheets if necessary)		APPLICANT Perry Francis Bartlett et al.						
		FILING DATE March 30, 2001		CONFIRMATION NO. 6242	GROUP 1645			
U.S. PATENT DOCUMENTS								
EXAM- INER INI- TIAL		DOCUMENT NUMBER	ISSUE DATE / PUBLICATION DATE		NAME			
	AA		<b>RECEIVED</b>  <b>MAR 14 2003</b>  <b>TECH CENTER 1600/2900</b>					
	AB							
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	AJ							
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FOREIGN PATENT DOCUMENTS								
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION YES NO	
	AL							
	AM							
	AN							
	AO							
	AP							
	AQ							
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)								
	AV	Levi-Montalcini, R., "Developmental Neurobiology and the Natural History of Nerve Growth Factor," <i>Ann. Rev. Neurosci.</i> 5: 341-362 (1982).						
	AW	Rabizadeh, S., et al., "Induction of Apoptosis by the Low-Affinity NGF Receptor," <i>Science</i> 261: 345-348 (1993).						
	AX	Majdan, M., et al., "Transgenic Mice Expressing the Intracellular Domain of the p75 Neurotrophin Receptor Undergo Neuronal Apoptosis," <i>Journal of Neuroscience</i> 17(18): 6988-6998 (1997).						
EXAMINER				DATE CONSIDERED				

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APPLICANT

Perry Francis Bartlett, et al.

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CONFIRMATION NO.

6242

GROUP

1645

(March 7, 2003)

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## U.S. PATENT DOCUMENTS

EXAM- INER INI- TIAL	DOCUMENT NUMBER	ISSUE DATE / PUBLICATION DATE	RECEIVED NAME MAR 14 2003 TECH CENTER 1600/2900

## FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION YES NO

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

AY	Barrett, G.L., et al., "The Low-Affinity Nerve Growth Factor Receptor p75 <sup>NGFR</sup> Mediates Death of PC12 Cells After Nerve Growth Factor Withdrawal," <i>Journal of Neuroscience Research</i> 45: 117-128 (1996).
AZ	Barrett, G.L., et al., "The p75 Nerve Growth Factor Receptor Mediates Survival or Death Depending on the Stage of Sensory Neuron Development," <i>Proc. Natl. Acad. Sci. USA</i> 91(14): 6501-6505 (1994).
AR2	Cheema, S.S., et al., "Reducing p75 Nerve Growth Factor Receptor Levels Using Antisense Oligonucleotides Prevents the Loss of Axotomized Sensory Neurons in the Dorsal Root Ganglia of Newborn Rats," <i>Journal of Neuroscience Research</i> 46: 239-245 (1996).
AS2	Bamji, S.X., et al., "The p75 Neurotrophin Receptor Mediates Neuronal Apoptosis and is Essential for Naturally Occurring Sympathetic Neuron Death," <i>Journal of Cell Biology</i> 140(4): 911-923 (1998).
AT2	Van der Zee, C.E.E.M., et al., "Survival of Cholinergic Forebrain Neurons in Developing p75 <sup>NGFR</sup> -Deficient Mice," <i>Science</i> 274: 1729-1732 (1996).
AU2	Feinstein, E., et al., "The Death Domain: A Module Shared by Proteins with Diverse Cellular Functions," <i>Trends in Biochemical Sciences</i> 20(9): 234-344 (1995).
AV2	Moix, L.J., et al., "Separate Signals Mediate Hypoglossal Motor Neuron Response to Axonal Injury," <i>Brain Research</i> 564: 176-180 (1991).
AW2	Lee, T.-H., et al., "Expressions of Nerve Growth Factor and p75 Low Affinity Receptor After Transient Forebrain Ischemia in Gerbil Hippocampal CA1 Neurons," <i>Journal of Neuroscience Research</i> 41: 684-695 (1995).
AX2	Rende, M., et al., "Axotomy Induces a Different Modulation of Both Low-Affinity Nerve Growth Factor Receptor and Choline Acetyltransferase Between Adult Rat Spinal and Brainstem Motoneurons," <i>Journal of Comparative Neurology</i> 363: 249-263 (1995).

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## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

AY2	Seeburger, J.L., et al., "Spinal Cord Motoneurons Express p75 <sup>NGFR</sup> and p145 <sup>trkB</sup> mRNA in Amyotrophic Lateral Sclerosis," <i>Brain Research</i> 621: 111-115 (1993).
AZ2	De Simone, R., et al., "mRNA for NGF and p75 in the Central Nervous System of Rats Affected by Experimental Allergic Encephalomyelitis," <i>Neuropathy &amp; Applied Neurobiology</i> 22: 54-59 (1996).
AR3	Conner, J.M., et al., "The Localization of Nerve Growth Factor-Like Immunoreactivity in the Adult Rat Basal Forebrain and Hippocampal Formation," <i>Journal of Comparative Neurology</i> 319: 454-462 (1992).
AS3	Wiley, R.G., et al., "Destruction of the Cholinergic Basal Forebrain Using Immunotoxin to Rat NGF Receptor: Modeling the Cholinergic Degeneration of Alzheimer's Disease," <i>Journal of the Neurological Sciences</i> 128: 157-166 (1995).
AT3	Needleman, S.B., et al., "A General Method Applicable to the Search for Similarities in the Amino Acid Sequence of Two Proteins," <i>J. Mol. Biol.</i> 48: 443-453 (1970).
AU3	Schwarze, S.R., et al., "In Vivo Protein Transduction: Delivery of a Biologically Active Protein into the Mouse," <i>Science</i> 285: 1569-1572 (1999).
AV3	Nataf, S., et al., "Low Affinity NGF Receptor Expression in the Central Nervous System During Experimental Allergic Encephalomyelitis," <i>Journal of Neuroscience Research</i> 52: 83-92 (1998).
AW3	Zupan, A.A., et al., "Identification, Purification, and Characterization of Truncated Forms of the Human Nerve Growth Factor Receptor," <i>Journal of Biological Chemistry</i> 264: 11714-11720 (1989).

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DATE CONSIDERED